



State of Nevada – Department Of Personnel

CLASS SPECIFICATION

| <u>TITLE</u> | <u>GRADE</u> | <u>EEO-4</u> | <u>CODE</u> |
|-----------------------------------|--------------|--------------|-------------|
| COMPLIANCE/AUDIT INVESTIGATOR III | 35 | B | 11.363 |
| COMPLIANCE/AUDIT INVESTIGATOR II | 33 | B | 11.365 |
| COMPLIANCE/AUDIT INVESTIGATOR I | 30 | B | 11.366 |

SERIES CONCEPT

This class series encompasses investigative positions that perform investigative and auditing functions to monitor compliance and detect violations of state and/or federal laws, rules, or regulations pertaining to a specific program or regulatory area such as securities, medicaid, or worker's compensation. The investigative process is initiated following a formal complaint, suspected or confirmed violation utilizing standard investigative techniques. The audit process is a regulatory function utilized to ensure ongoing compliance with state and/or federal regulations and guidelines.

Receives and reviews formal complaints and makes determinations regarding possible program violations and jurisdiction within specified program area. Gathers and analyzes background information and facts pertaining to the complaint. Makes determinations regarding the extent of violations, and recommendations to initiate a formal investigation.

Conducts interviews with complainant, witnesses, employers, state and local government agencies and other sources to obtain information regarding violations or noncompliance and develop leads and facts pertaining to case to prove a violation or criminal intent exists.

Prepares required forms and notices and delivers to appropriate party regarding complaint and/or alleged violations following department policy and procedure. Responses are reviewed and discussed with complainant and respondent.

Develops case file and maintains case logs and reports. Evidence is placed in case file along with chronological documentation regarding investigative steps taken and all contact made with complainant, respondent, witnesses and other sources. Evidence is preserved and utilized to develop final case reports and may be used for future litigation.

Gathers and reviews evidence such as business records, service contracts, professional reports, bank statements, billing documents, sales transactions, client account records, personnel files and historical data pertaining to the suspected violation to develop trends, patterns and to support complaint. May serve subpoenas or other legal documents and participate in the execution of search warrants to obtain evidence and expedite case.

Conducts audits on a periodic basis by randomly selecting individual firms or business and reviewing business transactions for completeness, accuracy, and compliance with state and federal laws, rules and regulations. Evaluates internal procedures, operating methods, fiscal controls, and verifies validity of financial statements and records. Explains provisions and application of state and federal guidelines and discusses assessments, audit findings and recommendations.

Prepares required forms and notices and sends to appropriate parties regarding complaint and alleged violations. Responses are reviewed and discussed with supervisor and/or Attorney General.

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SERIES CONCEPT (cont.)

Conducts research regarding program rules, court decisions, industry practices and standards, procedures and techniques to ensure compliance, and to develop or revise program regulations or policies. Plans and coordinates investigations and audits to determine whether administrative and/or criminal action should be taken.

Prepares investigative and audit reports encompassing results of examination of accounting records, known violations, statement of facts, case summary, exhibits of evidence, statements obtained from witnesses, conclusions and recommendations. Reports are reviewed and submitted for hearing or prosecution, and to impose fines and penalties. The investigator may appear before the governing body or in a court of law to provide testimony.

DISTINGUISHING CHARACTERISTICS:

Enforcement powers regarding program violations are limited to a specific program area that involve administrative sanctions or penalties imposed by a Hearings Board, state official or the federal government. Criminal violations are referred to the appropriate criminal justice agency for prosecution. This series is distinguished from other Investigative classes by the additional audit function which is performed as a separate duty area encompassing at least 25% of the investigative responsibility. Audit work is performed in a specialized field which requires an extensive knowledge of federal and state laws, program rules and regulations, business operations, corporate structure, financial transactions, terminology and record keeping to detect falsified records and/or program violations. Violations may be elaborately planned and sophisticated in nature requiring extensive research and analysis to detect.

Investigators allocated to this series do not require P.O.S.T. certification.

CLASS CONCEPTS

COMPLIANCE/AUDIT INVESTIGATOR III:

Performs the full range of duties in the series concept, in addition, under limited direction of the Chief Investigator, Program Administrator or designee, acts as a lead worker on a regular reoccurring basis and performs specialized investigative/audit functions dealing with complex and/or multiple program violations and/or criminal activity. Requires an extensive knowledge of state and federal laws, case law, program regulations, industry standards, concepts and practices to conduct detailed investigations and audits. Final reports and recommendations are reviewed and approved by the Chief Investigator or Program Administrator.

This is the lead worker/advanced journey level in the class series and is distinguished from the lower level investigators by making determinations on the level and intent of investigations, and acting as a leadworker by providing training, supervision, or coordinating the work of Investigator II's and I's while conducting investigative and/or audit functions. May review final investigative or audit reports for accuracy, clarity, format, and to insure policy and procedure is followed. May provide assistance to lower level investigators regarding case preparation and presentation in a court of law.

The Investigator III's utilize their extensive knowledge of industry standards and case history to recommend or develop new and/or revised policy, procedure and proposed legislation to aid in the compliance and control of program areas.

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CLASS CONCEPTS (cont.)

COMPLIANCE/AUDIT INVESTIGATOR II:

This is the journey level in the class series. Positions in this class are required to perform the duties outlined in the series concept and work independently utilizing generally accepted investigative and auditing principles and practices under general supervision of the Chief or level III Investigator.

COMPLIANCE/AUDIT INVESTIGATOR I:

Incumbents in this class receive on-the-job and/or formal training in the areas of compliance investigation and auditing. Incumbents also receive training in the laws, rules, policies and procedures associated with the program area. Incumbents perform all or part of the duties described in the series concept under direct supervision.

This is the entry level trainee class which provides for progression to the next higher level in the series upon meeting the minimum qualifications for the higher class and with the recommendation of the appointing authority.

MINIMUM QUALIFICATIONS

EDUCATION AND EXPERIENCE:

COMPLIANCE/AUDIT INVESTIGATOR III:

I

Bachelor's degree from an accredited college or university with major coursework in criminal justice, police science, psychology, business administration or closely related field and two years experience in an investigative, auditing or professional program related experience which required the application of state and federal laws, policy and procedure in making program compliance determinations, preparing detailed reports for the purpose of justifying administrative sanctions or penalties; changes in management practices, policy, and procedure or recommending criminal prosecution. Determinations are based on evidence collected, applying applicable laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory, related program area or comparable setting; OR

II

High school graduation and four years experience as outlined in option I; OR

III

Two years as a Compliance/Audit Investigator I in Nevada state service; OR

IV

An equivalent combination of education and experience in which the applicant demonstrated possession of the entry level knowledge, skills and abilities.

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MINIMUM QUALIFICATIONS (cont.)

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES: (These may be acquired on the job and/or needed to perform the work assigned.)

Knowledge of supervisory principles and practices. Extensive knowledge of program laws, regulations and rules at the state, federal and/or national level. Knowledge of complex auditing procedures and investigative techniques involving falsified, altered or misleading documents, transactions, accounting or business records. Knowledge of corporate structure and business operations. Knowledge of policy and procedure as it relates to conducting business as it relates to the program area.

Ability to plan and direct the activities of subordinates regarding investigative and auditing functions. Ability to summarize complicated factual data and present recommendations clearly. Ability to present meaningful solutions toward improvement and/or resolution of operational procedures. Ability to gain and maintain the confidence and cooperation of a variety of business and management officials contacted in the course of work. Ability to effectively present complicated and technical information to management, employees and public officials.

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

Knowledge of civil law and related criminal law to enforce program regulations as well as to ensure state and federal compliance through knowledge of the methods and practices of effective investigations and what constitutes legal evidence. Knowledge of where to go within the organization for needed information. Knowledge of record keeping practices to obtain and store needed investigative reports and documents. Knowledge of computer usage and program related terminology to access and input required data.

Ability to prioritize numerous assignments and make needed adjustments. Ability to work independently with minimal supervision. Ability to maintain equanimity in the face of resistance, indifference and hostility. Ability to handle and resolve complaints from consumers, business representatives and other state and local agencies. Ability to delegate responsibility.

In addition, all the knowledge, skills and abilities required of the lower levels of this series.

COMPLIANCE/AUDIT INVESTIGATOR II

EDUCATION AND EXPERIENCE:

I

Bachelor's degree from an accredited college or university with major coursework in criminal justice, police science, psychology, business administration or closely related field and one year of investigative, auditing or professional program related experience which required the application of state and federal laws, policy and procedure in making program compliance determinations, preparing detailed reports for the purpose of justifying administrative sanctions or penalties, changes in management practices, policy and procedure, or recommending criminal prosecution. Determinations are based on evidence collected, applying applicable laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory, related program area or comparable setting; OR

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MINIMUM QUALIFICATIONS (cont.)

EDUCATION AND EXPERIENCE: (cont.)

II

High school graduation and three years of experience as outlined in option I; OR

III

One year as a Compliance/Audit Investigator I in Nevada State service.

IV

An equivalent combination of education and experience in which the applicant demonstrated possession of the entry level knowledge, skills and abilities.

Condition of Employment:

Pursuant to NRS 284.4066, some positions in this class have been identified as affecting public safety. Persons offered employment in this class, in these positions, must first submit to a pre-employment screening test for controlled substances.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES: (These may be acquired on the job and/or needed to perform the work assigned.)

Knowledge of the scope and purpose of program laws, rules and regulations on a state, federal or national level. Knowledge of accounting practices of various types of program related areas. General knowledge of corporate law governing ownership and conflict of interest.

Ability to conduct independent investigations and audits with minimal supervision. Ability to make independent judgments and recommendations. Ability to plan and organize workload. Ability to develop cooperative working relationship with state, federal and local agencies.

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

Knowledge of general accounting procedures and rules. Knowledge of business practices and procedures. Knowledge of investigative principles and practices. Knowledge of rules of evidence and the rights of citizens. Knowledge of office procedures, methods and equipment.

Ability to analyze statutes, rules, regulations and apply to investigative or audit findings. Ability to make oral group presentations to provide information and explain procedures, policies, and laws pertaining to the program area. Ability to read and interpret contracts and legal documents in relation to the program area. Ability to work as part of a team. Ability to review and analyze information received from business, complainant and governmental agencies. Ability to conduct interviews both in person and by phone to ascertain factual information. Ability to mediate and negotiate resolution between contending parties.

In addition, all other knowledge, skills and abilities required at the lower level of this series.

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MINIMUM QUALIFICATIONS (cont.)

COMPLIANCE/AUDIT INVESTIGATOR I:

EDUCATION AND EXPERIENCE:

I

Bachelor's degree from an accredited college or university with major coursework in criminal justice, police science, psychology, business administration or closely related field; OR

II

High school graduation and two years of investigative, auditing or professional program related experience which required the application of state and federal laws, policy and procedure, in making program compliance determinations, preparing detailed reports for the purpose of justifying administrative sanctions, penalties, changes in management practices, policy and procedure, or to recommend criminal prosecution. Determinations are based on evidence collected, applying applicable laws, rules or regulations and thorough analysis and verification of data. Work experience may be obtained in a law enforcement, investigative, regulatory, related program area or comparable setting; OR

III

An equivalent combination of education and experience in which the applicant demonstrated possession of the entry level knowledge, skills and abilities.

Condition of Employment:

Pursuant to NRS 284.4066, some positions in this class have been identified as affecting public safety. Persons offered employment in this class, in these positions, must first submit to a pre-employment screening test for controlled substances.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES: (These may be acquired on the job and/or needed to perform the work assigned.)

General knowledge of program rules and regulations. General knowledge of state and federal laws pertaining to the program area. Knowledge of agency record keeping practices to obtain needed information for investigations, auditing, and special projects. Knowledge of the functions of other state agencies to refer complaints to the appropriate jurisdiction.

Ability to maintain cooperative working relationships with staff members. Ability to discuss and explain program rules and regulations to persons of various backgrounds. Ability to work independently. Ability to work as part of a team. Ability to complete required forms and documents. Ability to review and analyze complaints for possible program or statutory violations. Ability to conduct interviews to obtain needed information. Ability to detect falsified records.

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES: (Applicants will be screened for possession of these through written, oral, performance or other evaluation procedures.)

General knowledge of research techniques and application. Basic knowledge of the theories of criminal behavior and psychology. Knowledge of basic investigative and auditing techniques.

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MINIMUM QUALIFICATIONS (cont.)

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES: (cont.)

Ability to write concise, logical and grammatically correct reports. Ability to speak on a one-to-one basis using appropriate vocabulary and grammar to obtain information and to explain policies. Ability to record information quickly and accurately. Ability to convey accurate and precise data in a timely manner within established time frames. Ability to read and interpret statutes related to program area to determine compliance. Ability to speak with individuals of various social, cultural, economic and educational backgrounds.

This class specification is used for classification, recruitment and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this class.

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| ESTABLISHED: | 7/1/91P 10/19/90PC | 7/1/91P 10/19/90PC | 7/1/91P 10/19/90PC |
| REVISED: | | 11/15/91PC | 11/15/91PC |